

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: David Bruce Hall et al.

Group Art Unit:

Serial No.:

Examiner:

Filed:

For METHOD FOR REMOVAL OF GUANIDINE  
COMPOUND FROM AQUEOUS MEDIA

:

"EXPRESS MAIL" MAILING  
LABEL NUMBER  
EV 300767816 US

## INFORMATION DISCLOSURE STATEMENT

 1 Pursuant to 37CFR 1.97(b)

[within 3 months of national, non-CPA filing or prior to 1st Office Action] no charge

 2 Certification Pursuant to 37 CFR 1.97(c)(1)

[before Final Office Action, Allowance, or other action closing prosecution] no charge

 3 Fee Payment Pursuant to 37 CFR 1.97(c)(2)

[before Final Office Action, Allowance, or other action closing prosecution] \$180.00

 4 Certification & Fee Payment Pursuant to 37 CFR 1.97(d)

[On or before issue fee payment] \$180.00

ATTN: BOX PATENT APPLICATION

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit \_\_\_\_\_

Type or Print Name \_\_\_\_\_

Signature \_\_\_\_\_

This paper is submitted in accordance with:

- 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- 8 The required Certification made in item 11 below;
- 9 <sup>or</sup> The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- 11 Certification
- 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- 14 Payment of all applicable fees:
- 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

Respectfully submitted,



\_\_\_\_\_  
Attorney - Andrew J. Caruso  
Registration No. 48,520  
Phone: (518) 387-7354  
or (518) 387-7122

December 20, 2003

Date

General Electric Company  
CRD Patent Docket Rm 4A59  
P.O. Box 8, Bldg. K-1  
Schenectady, New York 12301  
Customer Number: 006147

|   |  |  |                              |            |
|---|--|--|------------------------------|------------|
| FORM PTO-1449<br>(REV. 7-80)  |  | U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO.<br>134081-1 | SERIAL NO. |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT<br><u>LIST OF ITEMS</u> |  | Applicant<br>David Bruce Hall et al.                       |                              |            |
|   |  | Filing Date  | Group Art Unit               |            |

**PATENT APPLICATION PUBLICATION**

| *EXAMINER INITIAL | DOCUMENT NUMBER |  | DATE     | NAME                | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|-------------------|-----------------|--|----------|---------------------|-------|----------|----------------------------|
| A1                | 4,040,990       |  | 8/9/77   | Neely               |       |          |                            |
| A2                | 4,297,220       |  | 10/27/81 | Meitzner et al.     |       |          |                            |
| A3                | 4,729,834       |  | 3/8/88   | Itoh et al.         |       |          |                            |
| A4                | 4,839,331       |  | 6/13/89  | Maroldo et al.      |       |          |                            |
| A5                | 4,957,897       |  | 9/18/90  | Maroldo et al.      |       |          |                            |
| A6                | 5,081,298       |  | 1/14/92  | Brunelle            |       |          |                            |
| A7                | 5,094,754       |  | 3/10/92  | Maroldo et al.      |       |          |                            |
| A8                | 5,104,530       |  | 4/14/92  | Maroldo et al.      |       |          |                            |
| A9                | 5,116,975       |  | 5/26/92  | Brunelle            |       |          |                            |
| A10               | 5,132,423       |  | 7/21/92  | Brunelle            |       |          |                            |
| A11               | 5,229,482       |  | 7/20/93  | Brunelle            |       |          |                            |
| A12               | 5,530,052       |  | 6/25/96  | Takekoshi et al.    |       |          |                            |
| A13               | 5,759,406       |  | 6/2/98   | Phelps et al.       |       |          |                            |
| A14               | 5,830,974       |  | 11/3/98  | Schmidhauser et al. |       |          |                            |
| A15               | 6,214,235       |  | 4/10/01  | Silva               |       |          |                            |
| A16               | 6,630,568       |  | 10/7/03  | Johnson et al.      |       |          |                            |

**FOREIGN PATENT DOCUMENTS**

|    | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES | NO |
|----|-----------------|------|---------|-------|----------|-----------------|----|
| B1 |                 |      |         |       |          |                 |    |
| B2 |                 |      |         |       |          |                 |    |
| B3 |                 |      |         |       |          |                 |    |
| B4 |                 |      |         |       |          |                 |    |

**OTHER INFORMATION** (Including Author, Title, Date, Pertinent Pages, etc.)

|    |  |
|----|--|
| C1 | Willi Kantlehner et al., "Herstellung von 1,1,2,3,3-pentasubstituierten und 1,1,2,2,3,3-hexasubstituierten Guanidiniumsalzen sowie von 1,1,2,3,3-Pentaalkylguanidinen", Liebigs Ann. Chem., pp. 108-126, 1984.   |
| C2 | Przemyslaw Pruszynski, "Synthesis and Properties of Phenyl Substituted Derivatives of 2-Phenyl-1,1,3,3-Tetramethylguanidine", Department of Chemistry, Adam Mickiewicz University, 60-780 Poznan, Poland, Can. J. Chem., Volume 65, pp. 626-629, 1987. |
| C3 | Application Serial No. 10/034,866, filed December 21, 2001.  |
| C4 |  |

|   |                 |
|---|-----------------|
| EXAMINER  | DATE CONSIDERED |
| EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant |                 |